

Penalty for presenting fraudulent claim is a fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 AND 3571

APEX CLEARING
5NA64290

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

OMB No. 1545-0715

(continued)

01/31/2022

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

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Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss (D)(Box 1g)	Gain or Loss(-)	Additional Notes
TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103 Symbol(Box 1a): TRCH							
06/21/2021	250.00	2,527.45	Various	1,516.75	0.00	910.70	Sale
06/21/2021	250.00	2,652.45	Various	2,077.34	0.00	575.11	Sale
06/21/2021	250.00	2,649.95	Various	2,820.50	180.29 D	9.74	Sale
06/21/2021	250.00	2,394.95	Various	1,487.86	0.00	907.09	Sale
06/21/2021	250.00	2,649.95	Various	2,108.29	0.00	541.66	Sale
06/21/2021	256.00	2,262.99	Various	1,783.04	0.00	479.95	Sale
06/21/2021	300.00	2,880.48	Various	1,642.12	0.00	1,238.36	Sale
06/21/2021	300.00	2,732.94	06/18/2021	1,643.73	0.00	1,089.21	Sale
06/21/2021	300.00	3,080.94	Various	2,661.33	0.00	419.61	Sale
06/21/2021	400.00	3,791.93	Various	3,404.32	0.00	387.61	Sale
06/21/2021	500.00	5,714.91	Various	4,542.33	0.00	1,172.58	Sale
06/22/2021	172.00	1,295.13	Various	2,091.25	796.12 D	0.00	Sale
06/22/2021	500.00	3,834.92	Various	7,075.25	3240.33 D	0.00	Sale
06/22/2021	1,000.00	7,507.84	Various	11,054.81	3546.97 D	0.00	Sale
Security Totals:		144,217.79		147,356.24		12,800.30	
ENERGY FOCUS INC COMMON STOCK CUSIP: 29268T409 Symbol(Box 1a): EFOI							
12/08/2021	200.00	663.97	Various	713.97	50.00 D	0.00	Sale
12/08/2021	212.00	699.56	Various	682.37	0.00	17.19	Sale
12/08/2021	272.00	873.08	Various	943.12	70.04 D	0.00	Sale
12/08/2021	300.00	1,010.95	Various	995.83	10.84 D	25.96	Sale
12/08/2021	500.00	1,624.93	Various	1,773.82	148.89 D	0.00	Sale
12/08/2021	500.00	1,639.93	Various	1,605.02	13.81 D	48.72	Sale
12/08/2021	972.00	3,197.74	Various	3,296.50	146.91 D	48.15	Sale
Security Totals:		9,710.16		10,010.63		140.02	
LONGEVERON INC CLASS A COMMON STOCK CUSIP: 54303L104 Symbol(Box 1a): LGVN							
11/19/2021	50.00	594.98	Various	497.40	0.00	97.58	Sale
11/19/2021	70.00	740.58	Various	677.05	0.00	63.53	Sale

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Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity (Box 1e)	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Disallowed (D)(Box 1g)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss	Gain or Loss(1)	Additional Notes
***LION GROUP HOLDING LTD AMERICAN DEPOSITARY SHARE CUSIP: 53620U102 Symbol(Box 1a): LGHL								
05/17/2021	622.00	1,287.46	Various	1,843.86		556.40 D	0.00	Sale
05/17/2021	878.00	1,843.69	Various	2,529.53		685.84 D	0.00	Sale
05/17/2021	1,000.00	2,099.86	Various	3,415.30		1,315.44 D	0.00	Sale
05/18/2021	240.00	518.36	05/14/2021	523.20		4.84 D	0.00	Sale
05/18/2021	1,000.00	2,149.86	Various	2,270.90		121.04 D	0.00	Sale
05/19/2021	776.00	1,629.50	Various	2,857.33		1,227.83 D	0.00	Sale
05/20/2021	805.00	1,674.29	Various	1,977.07		302.78 D	0.00	Sale
05/21/2021	300.00	627.43	Various	819.42		191.99 D	0.00	Sale
05/21/2021	807.00	1,679.66	Various	1,740.85		61.19 D	0.00	Sale
05/27/2021	1,500.00	3,299.80	Various	4,823.75		1,523.95 D	0.00	Sale
06/10/2021	886.00	2,188.29	Various	3,315.00		1,126.71 D	0.00	Sale
06/10/2021	887.00	2,133.11	Various	2,216.89		75.39 D	-8.39	Sale
06/15/2021	121.00	277.07	Various	439.84		0.00	-162.77	Sale
06/15/2021	639.00	1,431.27	Various	1,711.49		0.00	-280.22	Sale
06/15/2021	640.00	1,421.22	Various	1,519.53		0.00	-98.31	Sale
06/15/2021	1,000.00	2,321.68	Various	3,481.62		0.00	-1,159.94	Sale
Security Totals:		98,956.71		143,407.80			-1,589.79	
TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103 Symbol(Box 1a): TRCH								
06/16/2021	704.00	4,175.45	Various	4,074.98		30.2 D	130.67	Sale
06/16/2021	900.00	5,012.86	Various	4,773.75		0.00	239.11	Sale
06/17/2021	250.00	1,329.96	Various	1,389.59		59.63 D	0.00	Sale
06/17/2021	200.00	1,081.97	Various	1,212.41		132.78 D	2.34	Sale
06/17/2021	500.00	2,599.92	Various	3,101.11		501.19 D	0.00	Sale
06/17/2021	500.00	2,704.92	Various	3,039.40		334.48 D	0.00	Sale
06/17/2021	500.00	2,634.92	Various	3,346.47		711.55 D	0.00	Sale
06/17/2021	500.00	2,639.92	Various	3,220.79		580.87 D	0.00	Sale

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TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103 Symbol(Box 1a): TRCH							
06/17/2021	500.00	2,734.92	Various	2,858.73	158.36 D	34.55 Sale	
06/17/2021	750.00	3,989.88	Various	4,821.80	831.92 D	0.00 Sale	
06/17/2021	806.00	4,352.27	Various	4,681.88	329.61 D	0.00 Sale	
06/17/2021	1,000.00	5,409.85	Various	6,080.22	741.81 D	71.44 Sale	
06/17/2021	1,000.00	5,299.85	Various	6,584.25	1284.40 D	0.00 Sale	
06/17/2021	1,171.00	6,170.99	Various	7,286.90	1115.91 D	0.00 Sale	
06/17/2021	1,500.00	7,949.77	Various	9,146.39	1230.62 D	34.00 Sale	
06/18/2021	200.00	1,263.97	Various	1,069.25	0.00	194.72 Sale	
06/18/2021	200.00	1,283.97	Various	1,068.73	0.00	215.24 Sale	
06/18/2021	200.00	1,281.97	Various	1,073.84	0.00	208.13 Sale	
06/18/2021	252.00	1,612.76	Various	1,356.31	0.00	256.45 Sale	
06/18/2021	300.00	1,904.95	Various	1,612.97	0.00	291.98 Sale	
06/18/2021	350.00	1,991.44	Various	1,814.49	0.00	176.95 Sale	
06/18/2021	500.00	2,944.92	Various	2,500.15	0.00	444.77 Sale	
06/18/2021	500.00	2,934.92	Various	2,512.90	0.00	422.02 Sale	
06/18/2021	500.00	2,779.92	Various	2,719.11	44.58 D	105.39 Sale	
06/18/2021	500.00	2,784.93	Various	2,800.06	75.65 D	60.52 Sale	
06/18/2021	500.00	2,829.92	Various	2,519.45	0.00	310.47 Sale	
06/18/2021	525.00	3,239.17	Various	2,842.57	0.00	396.60 Sale	
06/21/2021	100.00	941.98	06/21/2021	840.00	0.00	101.98 Sale	
06/21/2021	200.00	1,906.97	Various	1,867.20	11.48 D	51.25 Sale	
06/21/2021	200.00	1,789.97	Various	1,075.94	0.00	714.03 Sale	
06/21/2021	200.00	1,790.37	Various	1,703.36	0.00	87.01 Sale	
06/21/2021	200.00	1,997.96	Various	1,776.79	0.00	221.17 Sale	
06/21/2021	243.00	2,406.09	Various	2,251.02	0.00	155.07 Sale	
06/21/2021	246.00	2,467.33	Various	2,324.51	0.00	142.82 Sale	

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